

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

-----X

IN RE PFIZER INC. SECURITIES
LITIGATION,

No. 04 CV 9866-LTS

-----X

ORDER

The Court has received the attached communication dated June 18, 2020, from Mr. William R. Hess (the “Claimant”) relating to the above-captioned matter. The Court has redacted the referenced financial account number and social security number in accordance with Fed. R. Civ. P. 5.2(a). The unredacted original will be filed under seal. Counsel for Plaintiff is directed to ascertain the status or disposition of the Claimant’s claim and report the results of its investigation to the Claimant and the Court by July 31, 2020. Chambers will mail a copy of this order (without the attachment) to Mr. Hess.

SO ORDERED.

Dated: New York, New York
July 1, 2020

/s/ Laura Taylor Swain
LAURA TAYLOR SWAIN
United States District Judge

Mail to:

Mr. William R. Hess
475 S Eliseo
Greenbrae, CA 94904

Honorable Laura Taylor Swain
Daniel Patrick Moynihan
United States Courthouse
500 Pearl St.
New York, NY 10007-1312
Ref ECF Case 04-cv-9866 (LTS) (HBP)

No. 9
Greenbrae, CA 94904
June 18, 2020

Judge Swain:

This is in reference to a notice of settlement in class action suit against Pfizer. The case was to include "All persons and entities who purchased and/or otherwise acquired Pfizer Inc. ("Pfizer" or "PFE") common stock between and including October 31, 2000 and October 19, 2005." Copy marked A.

I am enclosing a copy of Garden City Group's Proof of Claim and Release form. Copy marked B
It includes my dividend purchases 6/5/2003 to 12/3/2004.

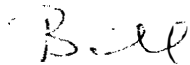
Enclosed is a copy of Computershare history of my Pfizer stock. As the statement shows I first acquired Pfizer stock April 16, 2003.

Finally a copy of their postcard dated October 27, 2016 acknowledging receipt of my claim form Copy Marked D

I have written the Lead Counsel Designee – Mary S. Thomas, Esq, Grant & Eisenhofer P.A.. She refuses to acknowledge my claim. Can you require them to do so? How do I obtain my compensation from this class action?

Enclosed is a self addressed stamp envelope for any return correspondence. Thank you for your help.

Sincerely,



William R. Hess

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

IN RE PFIZER INC. SECURITIES LITIGATION

No. 04-cv-9866 (LTS)(HBP)

ECF CASE

**NOTICE OF PROPOSED SETTLEMENT OF SECURITIES CLASS ACTION, APPLICATION FOR
ATTORNEYS' FEES AND EXPENSES, AND SETTLEMENT FAIRNESS HEARING**

To: **(All persons and entities who purchased and/or otherwise acquired Pfizer Inc. ("Pfizer" or "PFE") common stock between and including October 31, 2000 and October 19, 2005.**

A federal court has authorized this notice. This is not a solicitation from a lawyer.

PLEASE READ THIS NOTICE CAREFULLY AND IN ITS ENTIRETY. THIS NOTICE EXPLAINS IMPORTANT RIGHTS YOU MAY HAVE, INCLUDING THE POSSIBLE RECEIPT OF CASH FROM THE SETTLEMENT.

IF YOU ARE A MEMBER OF THE CLASS, YOUR RIGHTS WILL BE AFFECTED BY A CLASS ACTION LAWSUIT PENDING IN THIS COURT WHETHER YOU TAKE ANY ACTION PURSUANT TO THIS NOTICE OR NOT.

This Notice has been sent to you pursuant to Rule 23 of the Federal Rules of Civil Procedure and an Order of the United States District Court for the Southern District of New York (the "Court"). The purpose of this Notice is to inform you of the proposed settlement (the "Settlement") of the above-captioned class action lawsuit (the "Action") against Pfizer, Henry A. McKinnell, Karen L. Katen, Joseph M. Feczko and Gail Cawkwell (collectively the "Defendants") for a total of \$486,000,000 in cash (the "Settlement Amount") that, if approved, will resolve all claims in the Action. The Notice also is being sent to inform you of the hearing (the "Final Approval Hearing") to be held by the Court to consider (i) the fairness, reasonableness and adequacy of the Settlement as set forth in the Settlement Agreement¹ and whether the Settlement should be approved; (ii) whether the proposed plan for allocating the proceeds of the Settlement to eligible members of the Class (as set forth in Appendix A hereto) should be approved; (iii) Lead Counsel's application for attorneys' fees and expenses, including reimbursement of Plaintiffs' costs and expenses (as addressed on page 8, Question No. 14, below); and (iv) certain other matters.

This Notice is directed to you in the belief that you may be a member of the Class whose rights might be affected by the Settlement. If you do not meet the Class definition or if you previously excluded yourself from the Class in connection with the Notice of Pendency of Class Action previously disseminated in 2012 (the "Class Notice") and are listed on Exhibit C to the Settlement Agreement, this Notice does not apply to you. If you are uncertain whether you are a member of the Class, contact Lead Counsel identified below, or consult your own attorney.

YOUR LEGAL RIGHTS AND OPTIONS IN THE SETTLEMENT

| | |
|---|---|
| SUBMIT A CLAIM FORM. | The only way to be eligible to receive a payment from the Settlement Fund is to submit a Claim Form postmarked no later than January 28, 2017. |
| OBJECT TO THE SETTLEMENT, PLAN OF ALLOCATION OR REQUESTS FOR ATTORNEYS' FEES AND EXPENSES. | If you want to object to the proposed Settlement, the proposed Plan of Allocation or the request for attorneys' fees and expenses, you must write to the Court and explain why you do not like the Settlement, the Plan of Allocation, Lead Counsel's request for attorneys' fees and expenses and/or Plaintiffs' request for reimbursement of costs and expenses. Objections must be received no later than November 28, 2016. |
| GO TO THE FINAL APPROVAL HEARING ON DECEMBER 21, 2016. | If you want to appear in person and speak in Court at the scheduled hearing about the fairness of the proposed Settlement, the proposed Plan of Allocation, and/or the request for attorneys' fees and expenses, you must submit a notice of intention to appear, along with your written objection. Notices of intention to appear must be received no later than November 28, 2016. |
| DO NOTHING. | If you are a Class Member and do nothing, you will not be eligible to receive any payment from the Settlement Fund, you will give up your rights to sue about the claims that are being resolved by the Settlement and you will be bound by any judgments or orders entered by the Court in the Action. |

The rights and options set forth above - and the deadlines to exercise them - are explained in this Notice.

¹ Any capitalized terms used in this Notice that are not otherwise defined herein shall have the meanings ascribed to them in the Stipulation and Agreement of Settlement dated August 26, 2016 (the "Settlement Agreement"), which is available at www.pfizersecuritieslitigationsettlement.com.

Summary of the Notice

shall
distri
done

Distr

cons
furth
www

* **Description of the Action and the Class:** This Action was brought by investors alleging, among other things, Defendants violated the federal securities laws by making false, misleading or incomplete statements regarding the cardiovascular drugs Celebrex and Bextra. Defendants vigorously denied and disputed Plaintiffs' claims. A more detailed description of the Action is set forth on pages 3-4, Question No. 3, below.

* **Statement of Plaintiffs' Recovery:** Subject to Court approval, the Settlement will result in the creation of a cash settlement fund in the principal amount of \$486,000,000, plus any interest that may accrue thereon (the "Settlement Fund"). A portion of the Settlement Fund will be used to pay for, among other things, the expense of class notice and administration of the Settlement, tax and tax-related expenses, Court-awarded attorneys' fees and expenses to Plaintiffs' Counsel and Court-awarded reimbursement costs and expenses to Plaintiffs. The balance of the Settlement Fund will be available for distribution to Class Members who submit valid and timely Claim Forms, according to a Court-approved plan of allocation. The plan of allocation being proposed by Plaintiffs' Lead Counsel (the "Plan of Allocation") is set forth in Appendix A hereto. Based on Plaintiffs' damages expert's estimate of the number of shares of Pfizer common stock purchased during the Class Period that may have been affected by the conduct at issue in the Action and assuming that all Class Members elect to participate in the Settlement, the estimated average recovery (before deduction of Court-approved fees, expenses and costs (as described herein)) is \$0.13 per affected share of Pfizer common stock. **You should note, however, that the foregoing average recovery per share is only an estimate.** Your recovery from the Settlement will depend on a number of things, such as the number of shares of Pfizer common stock you purchased or otherwise acquired during the period between and including October 31, 2000 and December 16, 2004, and the timing of your purchases, acquisitions and any sales, and the prices such shares were purchased, acquired or sold, and the total number of valid Claim Forms submitted.

* **Statement of Potential Outcome of Case:** The Parties do not agree on the average amount of damages per share that would be recoverable if Plaintiffs were to prevail in the Action. Among other things, Defendants do not agree with the assertion that they violated the federal securities laws or that damages were suffered by any members of the Class as a result of their conduct. Plaintiffs estimate, based on a trading model used by their experts, that the maximum recovery for the Class might be as large as \$5 billion in the aggregate, or approximately \$1.46 per damaged share. This assumes Plaintiffs would prevail on every element of their claims and that the jury would find that each of the alleged corrective disclosures revealed information that had been concealed.

* **Attorneys' Fees and Expenses Sought:** Plaintiffs' Counsel in the Action, which have been prosecuting the Action on a wholly contingent basis since its inception in 2004, despite having advanced millions of dollars in expenses and having spent well over \$100 million in time representing in excess of 200,000 hours, have not received any payment of attorneys' fees for their work on behalf of the Class and have advanced substantial expenses necessary to prosecute this Action and negotiate the Settlement on behalf of the Class. Lead Counsel, on behalf of Plaintiffs' Counsel, will ask the Court for an award of attorneys' fees not to exceed 30% of the Settlement Fund and expenses paid or incurred in connection with the institution, prosecution and resolution of the claims against Defendants in an amount not to exceed \$25 million, plus interest, to be paid from the Settlement Fund. In addition, Plaintiffs may seek reimbursement of up to an aggregate amount not to exceed \$100,000 for their reasonable costs and expenses incurred in representing the Class. If these amounts are requested and approved by the Court, the estimated average cost per affected share of Pfizer common stock will be \$0.05. **Please note that this amount is only an estimate.**

* **Reasons for the Settlement:** Plaintiffs believe that the Settlement is a good recovery and is in the best interests of the Class. Because of the risks associated with continuing to litigate and proceeding to trial, there was a danger that the Class would not have prevailed on any of its claims, in which case the Class would receive nothing. Also, the amount of damages recoverable by the Class was and is challenged by Defendants. Recoverable damages in this case are limited to losses caused by conduct actionable under the applicable law and, had the Action gone to trial, Defendants would have asserted that any losses of Class Members were caused by non-actionable market, industry, or general economic factors. Defendants would also have asserted that throughout the Class Period, the risks associated with the purchase of Pfizer common stock were fully and adequately disclosed. The Settlement provides an immediate benefit to Class Members and will avoid the years of delay that would likely occur in the event of a contested trial and appeals.

Defendants have denied and continue to deny any improper conduct or violation of the federal securities laws or any other laws, regulations and assert that they are settling the Action solely to avoid the burden and expense of further litigation.

* **Identification of Attorney Representatives and Further Information:** For more information about this Notice or the Settlement please contact the Settlement Administrator or Lead Counsel:

Settlement Administrator
Pfizer Securities Litigation Settlement
c/o Garden City Group, LLC
P.O. Box 10305
Dublin, OH 43017-5905
888-236-0464
info@pfizersecuritieslitigationsettlement.com

Lead Counsel
Mary S. Thomas, Esq.
Grant & Eisenhofer P.A.
123 Justison Street
Wilmington, DE 19801
302-622-7000
www.gelaw.com

**Must be
Postmarked
No Later Than
January 28, 2017**

Pfizer Securities Litigation Settlement
c/o Garden City Group, LLC
P.O. Box 10305
Dublin, OH 43017-5905
1-888-236-0464



FIZ

www.pfizersecuritieslitigationsettlement.com

FIZ0204125346



T00205354893500039368KBA 0018081



*****3-DIGIT 949 T83 P1

WILLIAM R HESS #9
475 S ELISEO
GREENBRAE CA 94904

Claim Number: 01064384

Control Number: 0373522856



PROOF OF CLAIM AND RELEASE FORM

TO BE ELIGIBLE TO RECEIVE A SHARE OF THE NET CASH SETTLEMENT AMOUNT IN CONNECTION WITH THE SETTLEMENT OF THIS ACTION, YOU MUST COMPLETE AND SIGN THIS PROOF OF CLAIM AND RELEASE FORM ("CLAIM FORM") AND MAIL IT BY PREPAID, FIRST-CLASS MAIL, POSTMARKED NO LATER THAN JANUARY 28, 2017, ADDRESSED AS FOLLOWS:

Pfizer Securities Litigation Settlement
c/o Garden City Group, LLC
P.O. Box 10305
Dublin, OH 43017-5905

FAILURE TO SUBMIT YOUR CLAIM FORM BY THE DATE SPECIFIED ABOVE WILL SUBJECT YOUR CLAIM TO REJECTION AND MAY PRECLUDE YOU FROM BEING ELIGIBLE TO RECEIVE ANY MONEY IN CONNECTION WITH THE SETTLEMENT.

DO NOT MAIL OR DELIVER YOUR CLAIM FORM TO THE COURT, THE PARTIES TO THIS ACTION, OR THEIR COUNSEL. SUBMIT YOUR CLAIM FORM ONLY TO THE SETTLEMENT ADMINISTRATOR AT THE ADDRESS SET FORTH ABOVE.

| <u>TABLE OF CONTENTS</u> | <u>PAGE #</u> |
|--|----------------------|
| PART I - CLAIMANT IDENTIFICATION | 2 |
| PART II - GENERAL INSTRUCTIONS | 3-4 |
| PART III - SCHEDULE OF TRANSACTIONS IN PFIZER COMMON STOCK..... | 5 |
| PART IV - RELEASE OF CLAIMS AND SIGNATURE | 6-7 |
| REMINDER CHECKLIST | 8 |

Important - This form should be completed IN CAPITAL LETTERS using BLACK or DARK BLUE ballpoint/fountain pen. Characters and marks used should be similar in the style to the following:

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z 1 2 3 4 5 6 7 0



PART I - CLAIMANT IDENTIFICATION

Claimant or Representative Contact Information:

The Settlement Administrator will use the information supplied below for all communications regarding this Claim Form. If this information changes, you MUST notify the Settlement Administrator in writing at the address above.

Claimant Name(s) (as you would like the name(s) to appear on the check, if eligible for payment):

WILLIAM HESS

Joint Beneficial Owner, if applicable:

Street Address:

No. 9

475 S. Eliseo

City:

Greenbrae

Last 4 digits of Claimant SSN/TIN:¹

Account Number:

C 0001787438

State: **Zip Code:** **Country (if Other than U.S.):**

CA 94904

Name of the Person you would like the Settlement Administrator to Contact Regarding This Claim (if different from the Claimant Name(s) listed above):

Daytime Telephone Number:

415-456-9765

Evening Telephone Number:

415-456-9765

Email Address (Email address is not required, but if you provide it you authorize the Settlement Administrator to use it in providing you with information relevant to this claim.)

MKTSEV@hotmail.com

NOTICE REGARDING ELECTRONIC FILES: Certain claimants with large numbers of transactions may request, or may be requested, to submit information regarding their transactions in electronic files. To obtain the mandatory electronic filing requirements and file layout, you may visit the Settlement website at www.pfizersecuritieslitigationsettlement.com or you may email the Settlement Administrator's electronic filing department at eClaim@gardencitygroup.com. Any file not in accordance with the required electronic filing format will be subject to rejection. No electronic files will be considered to have been properly submitted unless the Settlement Administrator issues an email after processing your file with your claim numbers and respective account information. **Do not assume that your file has been received or processed until you receive this email. If you do not receive such an email within 10 days of your submission, you should contact the electronic filing department at eClaim@gardencitygroup.com to inquire about your file and confirm it was received and acceptable.**

To view Garden City Group, LLC's Privacy Notice, please visit <http://www.gardencitygroup.com/privacy>

¹The last four digits of the taxpayer identification number (TIN), consisting of a valid Social Security Number (SSN) for individuals or Employer Identification Number (EIN) for business entities, trusts, estates, etc., and telephone number of the beneficial owner(s) may be used in verifying this claim.



7.

PART IV - RELEASE OF CLAIMS AND SIGNATURE (CONTINUED)

3. that the claimant has **not** previously submitted a valid request for exclusion from the Class in connection with the Class Notice as listed on Exhibit C to the Settlement Agreement;

4. that I (we) own(ed) the Pfizer common stock identified in the Claim Form and have not assigned the claim against any of the Defendants or any of the other Releasees to another, or that, in signing and submitting this Claim Form, I (we) have the authority to act on behalf of the owner(s) thereof;

5. that the claimant(s) has (have) not submitted any other claim covering the same purchases/acquisitions of Pfizer common stock and knows (know) of no other person having done so on the claimant's (claimants') behalf;

6. that the claimant(s) submit(s) to the jurisdiction of the Court with respect to claimant's (claimants') claim and for purposes of enforcing the releases set forth herein;

7. that I (we) agree to furnish such additional information with respect to this Claim Form as Lead Counsel, the Settlement Administrator or the Court may require;

8. that the claimant(s) waive(s) the right to trial by jury, to the extent it exists, and agree(s) to the Court's summary disposition of the determination of the validity or amount of the claim made by this Claim Form;

9. that I (we) acknowledge that the claimant(s) will be bound by and subject to the terms of any judgment(s) that may be entered in the Action; and

10. that the claimant(s) is (are) NOT subject to backup withholding under the provisions of Section 3406(a)(1)(C) of the Internal Revenue Code because (a) the claimant(s) is (are) exempt from backup withholding or (b) the claimant(s) has (have) not been notified by the IRS that he/she/it is subject to backup withholding as a result of a failure to report all interest or dividends or (c) the IRS has notified the claimant(s) that he/she/it is no longer subject to backup withholding. **If the IRS has notified the claimant(s) that he/she/it is subject to backup withholding, please strike out the language in the preceding sentence indicating that the claim is not subject to backup withholding.**

UNDER THE PENALTIES OF PERJURY, I (WE) CERTIFY THAT ALL OF THE INFORMATION PROVIDED BY ME (US) ON THIS CLAIM FORM IS TRUE, CORRECT, AND COMPLETE, AND THAT THE DOCUMENTS SUBMITTED HEREWITH ARE TRUE AND CORRECT COPIES OF WHAT THEY PURPORT TO BE.

W. R. Hess

Signature of Claimant

William R. Hess
Print Name of Claimant

Date

10/14/16

Signature of Joint Claimant, if any

Print Name of Joint Claimant, if any

Date

If Claimant is other than an individual, or is not the person completing this form, the following also must be provided:

Signature of Person Completing Form

Print Name of Person Completing Form

Date

Capacity of person signing on behalf of claimant, if other than an individual, e.g., executor, president, trustee, custodian, etc. (Must provide evidence of authority to act on behalf of claimant – see paragraph 9 on page 4 of this Claim Form)

**REMINDER CHECKLIST**

1. Please sign the above release and certification. If this Claim Form is being made on behalf of joint claimants, then both must sign.
2. Remember to attach only copies of acceptable supporting documentation as these documents will not be returned to you.
3. Please do not highlight any portion of the Claim Form or any supporting documents.
4. Keep copies of the completed Claim Form and documentation for your own records.
5. The Settlement Administrator will acknowledge receipt of your Claim Form by mail, within 60 days. Your claim is not deemed submitted until you receive an acknowledgement postcard. **If you do not receive an acknowledgment postcard within 60 days, please contact the Settlement Administrator toll free at (888) 236-0464, or by email at info@pfizersecuritieslitigationsettlement.com**
6. If your address changes in the future, or if this Claim Form was sent to an old or incorrect address, please send the Settlement Administrator written notification of your new address. If you change your name, please inform the Settlement Administrator.
7. If you have any questions or concerns regarding your claim, please contact the Settlement Administrator at the above address, by phone toll-free at 1-888-236-0464, by email at info@pfizersecuritieslitigationsettlement.com, or visit the website for the Settlement www.pfizersecuritieslitigationsettlement.com. Please DO NOT call Pfizer, any other Defendants or their counsel with questions regarding your claim.

THIS CLAIM FORM MUST BE MAILED TO THE SETTLEMENT ADMINISTRATOR BY PREPAID, FIRSTCLASS MAIL, **POSTMARKED NO LATER THAN JANUARY 28, 2017**, ADDRESSED AS FOLLOWS:

Pfizer Securities Litigation Settlement
c/o Garden City Group, LLC
P.O. Box 10305
Dublin, OH 43017-5905

A Claim Form received by the Settlement Administrator shall be deemed to have been submitted when posted, if a postmark date on or before January 28, 2017 is indicated on the envelope and it is mailed First Class, and addressed in accordance with the above instructions. In all other cases, a Claim Form shall be deemed to have been submitted when actually received by the Settlement Administrator.

You should be aware that it will take a significant amount of time to fully process all of the Claim Forms. Please be patient and notify the Settlement Administrator of any change of address.



PART III - SCHEDULE OF TRANSACTIONS IN PFIZER COMMON STOCK

A. BEGINNING HOLDINGS: State the total number of shares of Pfizer common stock held as of the opening of trading on **October 31, 2000**. (Must be documented.) If none, write "zero" or "0."

ZERO

Shares

B. PURCHASES/ACQUISITIONS DURING RELEVANT PERIOD: Separately list each and every purchase/acquisition (including free receipts) of Pfizer common stock from after the opening of trading on **October 31, 2000** through and including the close of trading on **December 16, 2004**. (Must be documented.)³

| Trade Date(s) of Purchase(s)/Acquisition(s) (List Chronologically) (Month/Day/Year) | Number of Shares Purchased/Acquired | Purchase/Acquisition Price Per Share | Total Purchase/Acquisition Price (excluding taxes, commissions, and fees) |
|---|-------------------------------------|--------------------------------------|--|
| 06/05/03 | .895 | 32.42 | 29.03 |
| 09/04/03 | .962 | 30.32 | 29.17 |
| 12/04/03 | .855 | 34.27 | 29.31 |
| 03/05/04 | .895 | 37.29 | 33.36 |

C. PURCHASES/ACQUISITIONS DURING 90-DAY LOOK-BACK PERIOD: State the total number of shares of Pfizer common stock purchased/acquired (including free receipts) from after the opening of trading on **December 17, 2004** through and including the close of trading on **March 16, 2005**. If none, write "zero" or "0."⁴

1.408

Shares

D. SALES DURING RELEVANT PERIOD AND DURING 90-DAY LOOK-BACK PERIOD: Separately list each and every sale/disposition (including free deliveries) of Pfizer common stock from after the opening of trading on **October 31, 2000** through and including the close of trading on **March 16, 2005**. (Must be documented.)

| Date(s) of Sale(s) (List Chronologically) (Month/Day/Year) | Number of Shares Sold | Sale Price Per Share | Total Sale Price (excluding taxes, commissions, and fees) |
|--|-----------------------|----------------------|--|
| / / | | . | . |
| / / | | . | . |
| / / | | . | . |
| / / | | . | . |

E. ENDING HOLDINGS: State the total number of shares of Pfizer common stock held as of the close of trading on **March 16, 2005**. (Must be documented.) If none, write "zero" or "0."

203.086

Shares

³ **Please Note:** As set forth above, the Class certified by the Court includes the Class Period from October 31, 2000 through October 19, 2005. However, in connection with Defendants' summary judgment motion, the Court ruled that the full extent of the truth was in the public domain as of the end of the day on December 19, 2004 and that Plaintiffs identified no loss-causing risk information disclosure after December 19, 2004. In addition, based upon the Court's ruling, it also became clear that any Pfizer common stock purchased or otherwise acquired on December 17 and December 18, 2004 did not incur a loss attributable to the allegedly misrepresented information. As a result, if you purchased or otherwise acquired shares of Pfizer common stock on any date after December 16, 2004, you will not receive any recovery resulting from such purchases/acquisitions.

⁴ **Please Note:** Information requested with respect to your purchases/acquisitions of Pfizer common stock from after the opening of trading on December 17, 2004 through and including the close of trading on March 16, 2005 is needed in order to evaluate your claim; purchases/acquisition during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim pursuant to the Plan of Allocation.

IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS YOU MUST
PHOTOCOPY THIS PAGE AND CHECK THIS BOX ☒

IF YOU DO NOT CHECK THIS BOX THESE ADDITIONAL PAGES WILL NOT BE REVIEWED



PART III - SCHEDULE OF TRANSACTIONS IN PFIZER COMMON STOCK

| A. BEGINNING HOLDINGS: State the total number of shares of Pfizer common stock held as of the opening of trading on October 31, 2000 . (Must be documented.) If none, write "zero" or "0." | 2800 Shares | | | | | | | | | | | | | | | | | | | | | | | | |
|--|-------------------------------------|---|--|--------------------------------------|--|----------|------|-------|-------|----------|-------|-------|-------|----------|-------|-------|-------|-----|--|--|--|--|--|--|--|
| B. PURCHASES/ACQUISITIONS DURING RELEVANT PERIOD: Separately list each and every purchase/acquisition (including free receipts) of Pfizer common stock from after the opening of trading on October 31, 2000 through and including the close of trading on December 16, 2004 . (Must be documented.) ³ | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Trade Date(s) of Purchase(s)/Acquisition(s) (List Chronologically) (Month/Day/Year)</th> <th style="width: 20%;">Number of Shares Purchased/Acquired</th> <th style="width: 20%;">Purchase/Acquisition Price Per Share</th> <th style="width: 35%;">Total Purchase/Acquisition Price (excluding taxes, commissions, and fees)</th> </tr> </thead> <tbody> <tr> <td>06/04/04</td> <td>.934</td> <td>35.87</td> <td>33.52</td> </tr> <tr> <td>09/03/04</td> <td>1.027</td> <td>32.80</td> <td>33.67</td> </tr> <tr> <td>12/03/04</td> <td>1.201</td> <td>28.20</td> <td>33.85</td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table> | | Trade Date(s) of Purchase(s)/Acquisition(s) (List Chronologically) (Month/Day/Year) | Number of Shares Purchased/Acquired | Purchase/Acquisition Price Per Share | Total Purchase/Acquisition Price (excluding taxes, commissions, and fees) | 06/04/04 | .934 | 35.87 | 33.52 | 09/03/04 | 1.027 | 32.80 | 33.67 | 12/03/04 | 1.201 | 28.20 | 33.85 | | | | | | | | |
| Trade Date(s) of Purchase(s)/Acquisition(s) (List Chronologically) (Month/Day/Year) | Number of Shares Purchased/Acquired | Purchase/Acquisition Price Per Share | Total Purchase/Acquisition Price (excluding taxes, commissions, and fees) | | | | | | | | | | | | | | | | | | | | | | |
| 06/04/04 | .934 | 35.87 | 33.52 | | | | | | | | | | | | | | | | | | | | | | |
| 09/03/04 | 1.027 | 32.80 | 33.67 | | | | | | | | | | | | | | | | | | | | | | |
| 12/03/04 | 1.201 | 28.20 | 33.85 | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |
| C. PURCHASES/ACQUISITIONS DURING 90-DAY LOOK-BACK PERIOD: State the total number of shares of Pfizer common stock purchased/acquired (including free receipts) from after the opening of trading on December 17, 2004 through and including the close of trading on March 16, 2005 . If none, write "zero" or "0." ⁴ | Shares | | | | | | | | | | | | | | | | | | | | | | | | |
| D. SALES DURING RELEVANT PERIOD AND DURING 90-DAY LOOK-BACK PERIOD: Separately list each and every sale/disposition (including free deliveries) of Pfizer common stock from after the opening of trading on October 31, 2000 through and including the close of trading on March 16, 2005 . (Must be documented.) | | | | | | | | | | | | | | | | | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;">Date(s) of Sale(s) (List Chronologically) (Month/Day/Year)</th> <th style="width: 20%;">Number of Shares Sold</th> <th style="width: 20%;">Sale Price Per Share</th> <th style="width: 35%;">Total Sale Price (excluding taxes, commissions, and fees)</th> </tr> </thead> <tbody> <tr><td>/ /</td><td> </td><td> </td><td> </td></tr> <tr><td>/ /</td><td> </td><td> </td><td> </td></tr> <tr><td>/ /</td><td> </td><td> </td><td> </td></tr> <tr><td>/ /</td><td> </td><td> </td><td> </td></tr> </tbody> </table> | | Date(s) of Sale(s) (List Chronologically) (Month/Day/Year) | Number of Shares Sold | Sale Price Per Share | Total Sale Price (excluding taxes, commissions, and fees) | / / | | | | / / | | | | / / | | | | / / | | | | | | | |
| Date(s) of Sale(s) (List Chronologically) (Month/Day/Year) | Number of Shares Sold | Sale Price Per Share | Total Sale Price (excluding taxes, commissions, and fees) | | | | | | | | | | | | | | | | | | | | | | |
| / / | | | | | | | | | | | | | | | | | | | | | | | | | |
| / / | | | | | | | | | | | | | | | | | | | | | | | | | |
| / / | | | | | | | | | | | | | | | | | | | | | | | | | |
| / / | | | | | | | | | | | | | | | | | | | | | | | | | |
| E. ENDING HOLDINGS: State the total number of shares of Pfizer common stock held as of the close of trading on March 16, 2005 . (Must be documented.) If none, write "zero" or "0." | Shares | | | | | | | | | | | | | | | | | | | | | | | | |

³ **Please Note:** As set forth above, the Class certified by the Court includes the Class Period from October 31, 2000 through October 19, 2005. However, in connection with Defendants' summary judgment motion, the Court ruled that the full extent of the truth was in the public domain as of the end of the day on December 19, 2004 and that Plaintiffs identified no loss-causing risk information disclosure after December 19, 2004. In addition, based upon the Court's ruling, it also became clear that any Pfizer common stock purchased or otherwise acquired on December 17 and December 18, 2004 did not incur a loss attributable to the allegedly misrepresented information. As a result, if you purchased or otherwise acquired shares of Pfizer common stock on any date after December 16, 2004, you will not receive any recovery resulting from such purchases/acquisitions.

⁴ **Please Note:** Information requested with respect to your purchases/acquisitions of Pfizer common stock from after the opening of trading on December 17, 2004 through and including the close of trading on March 16, 2005 is needed in order to evaluate your claim; purchases/acquisition during this period, however, are not eligible under the Settlement and will not be used for purposes of calculating your Recognized Claim pursuant to the Plan of Allocation.

**IF YOU NEED ADDITIONAL SPACE TO LIST YOUR TRANSACTIONS YOU MUST
PHOTOCOPY THIS PAGE AND CHECK THIS BOX**

IF YOU DO NOT CHECK THIS BOX THESE ADDITIONAL PAGES WILL NOT BE REVIEWED



011294



WILLIAM R HESS
#9
475 S ELISEO
GREENBRAE CA 94904

Computershare Trust Company, N.A.
PO Box 30170
College Station, TX 77842-3170
Within USA, US territories & Canada 800 733 9393
Outside USA, US territories & Canada 781 575 4591
www.computershare.com/investor

Pfizer Inc. is incorporated under the laws of the State
of DE.

Holder Account Number



Ticker Symbol
CUSIP

side

PFE
717081103

PLEASE READ THE IMPORTANT PRIVACY NOTICE AT BACK OF STATEMENT

Pfizer Inc. Investment Plan Statement

Summary of Account Holdings as of 19 Jan 2016

| Type of Holding | Opening Balance as of 01 Jan 2003 | Share/Unit Activity | Closing Balance as of 19 Jan 2016 | Price per Share/Unit (USD) | Market Value as of 19 Jan 2016 (USD) |
|---------------------|---|------------------------|---|----------------------------------|--|
| DSPP - Common Stock | 0.000000 | 168.138234 | 168.138234 | 30.69 | 5,160.16 |

251UDR

PFE

Company Name

Pfizer Inc.

Statement Period

01 Jan 2003 - 19 Jan 2016

Holder Account Number

C0001787438

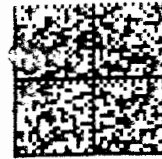
Page 2 of 5

Transaction Activity

Pharmacia acquisition.

| Transaction Date | Transaction Description | Gross Amount (USD) | Taxes Withheld (USD) | Fees/Other Deducted (USD) | Net Amount (USD) | Price per Share/Unit (USD) | Transaction Shares/Units | Total Shares/Units |
|---------------------|-------------------------|--------------------|----------------------|---------------------------|------------------|----------------------------|--------------------------|--------------------|
| DSPP - Common Stock | | | | | | | | |
| | Balance Forward | | | | | | | 0.000000 |
| 16 Apr 2003 | Special Dividend | | | | | | 193.543000 | 193.543000 |
| 05 Jun 2003 | Dividend | 29.03 | | | 29.03 | 32.425000 | 0.895000 | 194.438000 |
| 04 Sep 2003 | Dividend | 29.17 | | | 29.17 | 30.325000 | 0.962000 | 195.400000 |
| 04 Dec 2003 | Dividend | 29.31 | | | 29.31 | 34.270000 | 0.855000 | 196.255000 |
| 05 Mar 2004 | Dividend | 33.36 | | | 33.36 | 37.290000 | 0.895000 | 197.150000 |
| 04 Jun 2004 | Dividend | 33.52 | | | 33.52 | 35.870000 | 0.934000 | 198.084000 |
| 03 Sep 2004 | Dividend | 33.67 | | | 33.67 | 32.800000 | 1.027000 | 199.111000 |
| 03 Dec 2004 | Dividend | 33.85 | | | 33.85 | 28.195000 | 1.201000 | 200.312000 |
| 08 Mar 2005 | Dividend | 38.06 | | | 38.06 | 27.040000 | 1.408000 | 201.720000 |
| 07 Jun 2005 | Dividend | 38.33 | | | 38.33 | 28.060000 | 1.366000 | 203.086000 |
| 06 Sep 2005 | Dividend | 38.59 | | | 38.59 | 25.615000 | 1.507000 | 204.593000 |
| 06 Dec 2005 | Dividend | 38.87 | | | 38.87 | 21.265000 | 1.828000 | 206.421000 |
| 07 Mar 2006 | Dividend | 49.54 | | | 49.54 | 26.045000 | 1.902000 | 208.323000 |
| 06 Jun 2006 | Dividend | 50.00 | | | 50.00 | 23.990000 | 2.084000 | 210.407000 |
| 05 Sep 2006 | Dividend | 50.50 | | | 50.50 | 27.765000 | 1.819000 | 212.226000 |
| 05 Dec 2006 | Dividend | 50.93 | | | 50.93 | 24.855000 | 2.049000 | 214.275000 |
| 18 Dec 2006 | Sale | 2,590.19 | | 27.00 | 2,563.19 | 25.901921 | -100.000000 | 114.275000 |
| 06 Mar 2007 | Dividend Reinvestment | 33.14 | | | 33.14 | 25.025000 | 1.324276 | 115.599276 |
| 05 Jun 2007 | Dividend Reinvestment | 33.52 | | | 33.52 | 27.335000 | 1.226267 | 116.825543 |
| 05 Sep 2007 | Dividend Reinvestment | 33.88 | | | 33.88 | 24.730000 | 1.369996 | 118.195539 |
| 04 Dec 2007 | Dividend Reinvestment | 34.28 | | | 34.28 | 23.535000 | 1.456554 | 119.652093 |
| 04 Mar 2008 | Dividend Reinvestment | 38.29 | | | 38.29 | 22.165000 | 1.727498 | 121.379591 |
| 03 Jun 2008 | Dividend Reinvestment | 38.84 | | | 38.84 | 19.065000 | 2.037241 | 123.416832 |
| 03 Sep 2008 | Dividend Reinvestment | 39.49 | | | 39.49 | 19.205000 | 2.056235 | 125.473067 |
| 02 Dec 2008 | Dividend Reinvestment | 40.15 | | | 40.15 | 15.770000 | 2.545973 | 128.019040 |
| 03 Mar 2009 | Dividend Reinvestment | 40.97 | | | 40.97 | 11.950000 | 3.428452 | 131.447492 |
| 02 Jun 2009 | Dividend Reinvestment | 21.03 | | | 21.03 | 14.960000 | 1.405749 | 132.853241 |
| 02 Sep 2009 | Dividend Reinvestment | 21.26 | | | 21.26 | 16.315000 | 1.303095 | 134.156336 |
| 01 Dec 2009 | Dividend Reinvestment | 21.47 | | | 21.47 | 18.510000 | 1.159914 | 135.316250 |
| 02 Mar 2010 | Dividend Reinvestment | 24.36 | | | 24.36 | 17.715000 | 1.375106 | 136.691356 |
| 01 Jun 2010 | Dividend Reinvestment | 24.60 | | | 24.60 | 15.190000 | 1.619487 | 138.310843 |
| 01 Sep 2010 | Dividend Reinvestment | 24.90 | | | 24.90 | 16.220000 | 1.535142 | 139.845985 |
| 01 Dec 2010 | Dividend Reinvestment | 25.17 | | | 25.17 | 16.585000 | 1.517636 | 141.363621 |
| 01 Mar 2011 | Dividend Reinvestment | 28.27 | | | 28.27 | 19.308100 | 1.464152 | 142.827773 |
| 07 Jun 2011 | Dividend Reinvestment | 28.57 | | | 28.57 | 20.855000 | 1.369935 | 144.197708 |
| 06 Sep 2011 | Dividend Reinvestment | 28.84 | | | 28.84 | 18.407500 | 1.566753 | 145.764461 |
| 06 Dec 2011 | Dividend Reinvestment | 29.15 | | | 29.15 | 20.185000 | 1.444142 | 147.208603 |
| 06 Mar 2012 | Dividend Reinvestment | 32.39 | | | 32.39 | 21.370000 | 1.515676 | 148.724279 |
| 05 Jun 2012 | Dividend Reinvestment | 32.72 | | | 32.72 | 21.520000 | 1.520446 | 150.244725 |
| 05 Sep 2012 | Dividend Reinvestment | 33.05 | | | 33.05 | 23.835000 | 1.386616 | 151.631341 |
| 04 Dec 2012 | Dividend Reinvestment | 33.36 | | 1.73 | 31.63 | 25.180100 | 1.256151 | 152.887492 |
| 05 Mar 2013 | Dividend Reinvestment | 36.69 | | 1.89 | 34.80 | 28.114600 | 1.237791 | 154.125283 |

Pfizer Securities Litigation Settlement
c/o Garden City Group, LLC
P.O. Box 10305
Dublin, OH 43017-5905
1-888-236-0464
www.pfizersecuritieslitigationsettlement.com



U.S. POSTAGE >> PITNEY BOWES
ZIP 43017 \$ 000.34^v
02 1W
0001381996 OCT 27 2016



FIZ056267081

Claim Number: 1064384

WILLIAM R HESS #9
475 S ELISEO
GREENBRAE, CA 94904



Confirmation Notice

Dear Claimant,

The Administrator has received the claim form you submitted. You will be contacted if additional information or documentation is required to process your claim. It is not known how long it will take before claims are paid.

You must notify the Administrator in writing if you have a change of address. If you have any questions regarding the litigation, you may contact the Administrator at the number on the reverse side of this card.

Please retain this postcard and make note of the claim number on the reverse side of this postcard for future reference and for use in any correspondence with the Administrator.

Sincerely,
Claims Administrator